



Appraisal Policy

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1. Introduction

This policy sets out the framework to allow a clear and consistent assessment of the overall performance of staff in the Trust and for supporting their development needs within the context of each school's development plan and their own professional needs. To be effective, it is essential that proper time is allocated to employees and appraisers to undertake appraisal.

1a. Scope

The arrangements for the appraisal of teachers are under-pinned by statutory regulations. This policy meets the requirements of the law, and also best practice, and has been designed to apply to all the staff employed in the Trust. This will minimise workload and ensure all staff have equal access to appraisal and continuous professional development.

The policy applies to the CEO and all the staff employed by the trust, except:

- Staff on contracts of less than one term;
- Teachers in their induction year;
- Support staff in their probationary period; and
- those who are the subject of capability procedures.

This policy should be read in conjunction with the Trust's pay policy which provides details of the arrangements relating to teachers' pay, the Education (School Teachers' Appraisal) (England) Regulations 2012, DFE guidance on teacher's performance related pay, the School Teachers Pay and Conditions document and associated Guidance. In respect of support staff, the National Agreement places training and development of staff at the forefront of delivering effective services.

For staff who start their employment at the school part-way through the trust's appraisal cycle, the headteacher will make appropriate arrangements for their performance to be managed during the remainder of the academic year.

For staff already employed in the trust who transfer to a new post within the trust part-way through a cycle, the headteacher will determine whether to begin the appraisal again and whether to change the appraiser, depending on the extent to which the teacher's responsibilities and job description have changed.

The job title of Headteacher is interchangeable with Head of School and Principal Designate in all North Star Academy Trust policies.

1b. Training and Support

The governing body will ensure appropriate resources are identified in the school budget for any training and support agreed for appraisees.

The trust's CPD programme will be informed by the training and development needs identified in the training annex of the appraisee's planning and review statement.

An account of the training and development needs of employees, including the instances where it did not prove possible to provide any agreed CPD, will form a part of the headteacher's annual report to the governing body about the operation of the appraisal process in the school.

2. Pay Progression

2a. Support Staff

Pay progression is automatic until the maximum of the grade is reached unless the member of staff is the subject to formal capability proceedings.

2b. Teachers

For all staff paid under the STP&CD pay progression is determined by the individual's performance as assessed through the appraisal process.

Increments for all teaching staff can only be awarded with effect from 1 September in any academic year.

Teachers on all pay ranges can be awarded an increase between the minimum and the maximum of the pay range until they reach the maximum of the range unless they are the subject of formal capability proceedings.

All teachers including Leadership must have undertaken a minimum of four terms in the post to be eligible for pay progression.

UPS teachers must have been in post for a minimum of a year and four terms to be eligible for pay progression.

Incremental progression will be in line with the Trust's pay policy and as follows:

Unqualified Pay Range

Pay progression for teachers on the unqualified pay range is subject to a performance that meets the required standard. Incremental progression will be in line with the schools pay policy.

Main Pay Range

Pay progression for teachers on the main pay range is subject to a performance rating that meets the required standard. Incremental progression will be in line with the Trust's pay policy.

Upper Pay Range

A teacher who has been assessed as qualifying for the upper pay scale may receive incremental progression bi-annually and subject to two appraisal reviews that indicate required standards have been met.

Leadership Pay range

Teaching staff on the leadership scale may be awarded up to one increment in any year (with effect from 1 September) where an appraisal indicates that required standards have been met.

Where an appraisal indicating the meeting of required standards have been exceeded, two increments may be awarded to the leadership teacher in any one year (with effect from 1 September).

3. Key Roles and Responsibilities

3a. Trustee Board

- Appoint 3 trustees to review the CEO performance annually;
- to use an external adviser to provide advice and support in relation to the management and review the performance of the CEO;
- ensure the content of the CEO's planning and review statement is drafted, while having regard to the need to be able to achieve a satisfactory work life balance;

3b. Governing Body

- To monitor the operation and outcomes of appraisal arrangements, and review the policy and its operation every year;
- to make final decisions regarding teachers' pay progression based on recommendations made by appraisers;
- to ensure that resources are made available in the school budget for training and support identified in appraisee planning statements;
- where the headteacher makes such a request, to action requests for evidence from the appraisal process to be transferred if they transfer mid-cycle;

- to regularly review the process of moderation and quality assurance to ensure that the link between appraisal and pay can be applied consistently and the pay decisions can be objectively justified;
- to ensure that in planning the school budget, resources are identified to fund pay progression;
- to hear appeals in line with the trust's procedures.

3c. Chair of Trustees / CEO

The Chair of Trustees will be a member of the committee that is established to review the CEO's performance. The Chair of Trustees will retain a copy of the CEO's planning and review statement.

The CEO will be a member of the committee that is established to review the headteacher's performance. The CEO will retain a copy of the headteacher's planning and review statement. The CEO will have oversight of the moderation process.

3d. Headteacher

To develop clear arrangements for linking appraisal to pay progression;

- To ensure teachers are appraised in accordance with the trust's appraisal policy and the relevant regulations;
- to maintain records of decisions and recommendations made, demonstrating that all decisions are made objectively and fairly, in compliance with equalities legislation;
- to report annually to the governing body on appraisal arrangements and on the training and development needs of staff;
- to put pay recommendations to the governing body and ensure they have sufficient information on which to make decisions;
- to play an active role in their own appraisal and professional development including taking action as agreed at review meetings;
- to act as performance appraiser to all staff who directly report to them, and, where appropriate, delegate the role of performance appraiser in its entirety. Ensure appraisers have the knowledge and skills to carry out appraisals;
- to retain copies of all review and planning statements and provide others with access to statements where appropriate;
- to take account of review outcomes in school development planning and ensure the school produces and resources an effective plan for the professional development of its workforce;
- to action any request from a teacher for evidence from appraisal to be transferred if a teacher moves school mid-cycle;

- to evaluate standards of teaching and learning and ensure proper standards of professional practice are established and maintained;
- to ensure that the planning and review statements are drafted having regard to the need for a satisfactory work life balance;
- to moderate all, or some, planning statements to ensure fairness, consistency and adherence to the requirements of equality legislation.

3e. Employees

- To play an active role in their own appraisal and professional development, including taking action as agreed at review meetings;
- to keep records of their objectives and review throughout the appraisal process;
- where the role of appraiser has been delegated in accordance with the regulations, act as appraisers for other employees;
- to contribute to the annual planning and assessment of other employees where appropriate;
- to decide whether they wish to apply for access to the upper pay range and provide the appropriate evidence.

4. Appointment of Appraisers

4a. For the CEO / Headteacher

The Board of Trustees acts as the appraiser for the CEO and in order to discharge this responsibility, will appoint a committee of two/three trustees. For headteachers a committee of two/three governors will be appointed including the CEO.

No governor who is a teacher, or other member of staff at the school, may be appointed as an appraiser for a headteacher.

4b. For other staff

For all staff the headteacher has delegated the responsibility of appraiser, in its entirety, to the line manager.

The headteacher will moderate a sample of the planning statements to check that the plans recorded in the statements of each school's staff are consistent between those who have similar experience and similar levels of responsibility; and that they comply with the Trust's Appraisal Policy, the regulations and the requirements of equality legislation.

In this Trust, normally the maximum number of reviews that any line manager will be expected to undertake per cycle is 3. In determining the number of appraisees for each appraiser account will be taken of the appraiser's workload and work life balance.

Where an employee has more than one-line manager, the headteacher will determine which line manager will be best placed to manage and review the employee's performance, and inform the employee.

Where, for whatever reason, the appraiser will be absent for the majority of the cycle, or is unsuitable for professional reasons, alternative arrangements will be made in accordance with the above. The headteachers may perform the duties themselves-or delegate them in their entirety to another employee. Where this employee is not the appraisee's line manager the employee will have an equivalent or higher status in the staffing structure as the employee's line manager.

An appraisal cycle will not begin again in the event of the appraiser being changed.

All line managers to whom the headteacher has delegated the role of appraiser will receive appropriate support in discharging their responsibilities.

An employee has the right to request, in writing, that an appraiser is changed. Any request will be considered by the headteacher. The headteacher's decision will be final and there is no right of appeal. An employee cannot make more than one request (in any review cycle).

5. The Appraisal Cycle

The appraisal cycle consists of:

Planning Meeting at which objectives are agreed and a personal planning and review statement is produced;

Monitoring and support which is on-going throughout the cycle;

Mid- Term Review Meeting at which an overall assessment is made of the individual's progress taking into account the objectives set at the beginning of the cycle;

Appraisal report is produced which includes details of the assessment and a recommendation on pay;

Moderation is initially carried out by the Headteacher and Senior Leadership Team with a view to putting individual pay progression recommendations to the governing body for agreement. The performance of all staff must be reviewed on an annual basis. Performance, planning and reviews must be completed for **all teaching staff** by 31 October and for headteachers by 31 December.

5a. Transition to Capability Procedure

If the appraiser is not satisfied with progress and a professional guidance package has been implemented, the teacher will be notified in writing that the appraisal system will no longer apply and that their performance will be managed under the capability procedure, and that they will be invited to a capability meeting.

6. The Planning Meeting

The Planning Meeting takes place at the start of the appraisal cycle and is a one to one meeting between the employee and the appraiser. (For the CEO the meeting will be between the CEO and three trustees.) The employee and the appraiser should establish and agree the employee's key job outcomes based on his/her job description and set up to three performance objectives. In respect of senior leadership team members, up to five performance objectives may be set.

The appraiser and appraisee will always seek to agree the objectives and content of the planning statement. In exceptional circumstances where agreement cannot be reached the appraiser will make the determination.

Appendix A sets out the structure of the Planning Meeting.

6a. Setting Objectives

Performance objectives must:

- for teachers, be assessed against the Teachers' Standards and the Trust's career stage profile;
- for class-based roles, be linked to the progress of the school's pupils and clearly link to the school development plan;
- take into account the employee's job description and the relevant professional standards / job competencies;
- reflect a whole school or team objective that is in the school development plan;
- be SMART (specific, measurable, achievable, relevant and resourced and timed); and
- balance the employee's professional aspirations whilst allowing him/her to have a reasonable work-life balance.

NB: - Objectives linked to pupil progress and the school development plan should also be the source of information as appropriate for school self-evaluation and the wider school development process.

An objective can also cover two cycles (two years). Where this is the case the objective will require milestones to be assessed on the progress made at the end of the first year. This will be recorded in the planning and review statement at the beginning of the cycle.

6b. Evaluating Effective Teaching

The planning and review statement will set out the arrangements for using the Trust's quality assurance process to evaluate the effectiveness of teaching and learning

6c. Continuing Professional Development (CPD)

All staff have a responsibility to identify their own CPD needs and participate in any development that has been agreed.

The planning and review statement will include any training and development needs highlighted during the planning meeting and the agreed CPD for the cycle.

In agreeing the arrangements for CPD, the appraiser will consider the extent to which the developments that are identified are essential for an appraisee to meet their objectives.

6d. Other Key Factors to be Considered

Key people who may be required to assist staff in achieving a performance objective must be identified and any (CPD) training and development needs considered and included in the planning statement.

7. Planning and Review Statement

At the end of the Planning Meeting a draft planning and review statement will be prepared by the appraiser and passed to the employee within five working days for signature.

On receipt of the draft planning and review statement, the appraisee may add comments before signing.

Within 10 working days of the planning meeting the signed planning and review statement must be passed to the headteacher.

Within 10 working days of the headteacher receiving the statement s/he may review the statement, and may instruct the appraiser to make changes. If there are no changes the appraisee may appeal against the contents of the statement.

If there are changes:

Within 10 working days of the headteacher asking the appraiser to make changes:

- the appraiser must consult with appraisee;

- the appraiser must prepare a new planning and review statement to which the appraiser can add comments, sign it and resubmit it to the headteacher;
- the appraisee must also lodge any appeal against the contents of the statement.

Where an appeal is lodged on multiple entries they will all be determined at the same appeal hearing.

Appeals will not be heard until the moderation process has been completed.

7a. Revision of Planning Statement

There may be occasions during the review cycle where it is necessary to make revisions e.g.:

- where the appraisee's post and/or responsibilities have changed;
- if there have been difficulties in accessing agreed support;
- where the appraisee has been on maternity or long-term sickness absence;
- where there are concerns about the appraisee's performance; or
- where reasonable adjustments required under the provisions of the Equality Act 2010 need to be made.

Where this is the case, either party can request a meeting. Within 10 days following the Revisions Meeting any proposed changes to the objectives, arrangements for classroom observation, evidence and arrangements for its collection, performance criteria, or support available to the appraisee in the review statement must be recorded as a written addition to the statement. The appraiser and appraisee should sign to say that the changes are an accurate reflection of what was agreed or determined by the appraiser. At the same time as signing the addition the appraisee can add any comments in writing. The appraisee has the right of appeal against the contents of the addition in accordance with this procedure. Following the Revisions Meeting the same timescales for recording and appeal apply as at the end of the planning meeting.

8. Monitoring and Supporting Performance

Good appraisal is reliant upon good communication and effective feedback. One review meeting must be held during the appraisal cycle in order to track and record progress against the objectives set. However, there should also be regular discussions taking place with the appraiser and appraisee throughout the cycle as part of the normal management arrangements. Features of good monitoring and support include:

- communicating progress and changes in objectives and job tasks;
- identifying new or altered priorities and following these up with an amended planning statement;

- identifying and solving problems;
- giving regular and constructive feedback on performance;
- using the GAP to assess teacher performance
- delivery of promised training.

Monitoring methods should not be:

- unduly time-consuming; or
- generate unnecessary work.

When providing feedback appraisers should:

- provide the information required, enabling the understanding that keeps performance on course;
- emphasise good aspects of performance before highlighting any areas for improvement;
- seek to agree with the employee where performance is above or below expectations.

When receiving feedback, appraisees should:

- ask questions when s/he does not understand;
- ask for an example;
- look ahead to the remainder of the review period;
- agree needs for learning and development, or for support, to match changing demands.

9. Reviewing

At the end of the cycle, a Review Meeting will be held to assess performance against the performance criteria set at the beginning of the cycle and where the teacher is eligible recommend pay progression. The Review Meeting should be a summary of discussions held throughout the appraisal cycle. There should be no surprises.

Before the Review Meeting the appraiser **must:**

- ensure the appraisee is clear about what will take place during the review meeting;
- review the appraisee's planning and review statement;
- collect any data, documents and information which are relevant to the discussion;
- make an initial assessment of the highs and lows of the appraisee's performance for discussion.

Before the meeting the appraisee **may:**

- review his/her own planning and review statement and conduct a self-evaluation of his/her actual performance against the objectives set in the statement;
- collect data and information which s/he believes will assist the appraiser in assessing his/her performance.

Good progress towards the achievement of a challenging objective, even if the performance objective has not been met in full does not mean that the overall performance cannot be assessed meeting the required standard.

At the meeting the appraiser should set the tone and focus of the meeting. The appraiser and appraisee should jointly discuss the whole review period looking at:

- what has gone well in terms of achieving objectives;
- completing tasks in the job description and meeting professional standards;
- what could have been done differently to achieve objectives and the factors that contributed to any problems in achieving the objectives;
- how problems have been overcome and how these can be minimised in the future;
- what specific actions are required to continue to improve performance.

Agree an assessment of overall performance for the jobholder and make a recommendation for pay progression. If a performance assessment cannot be jointly determined the appraiser will make the determination.

Once the performance has been assessed further objectives will be set for the following year. The meeting then becomes the planning meeting.

10. Feedback

Teachers will receive constructive feedback on their performance throughout the year, confirmed in writing, and, as soon as practicable, using the Trust's quality assurance process or other evidence which has come to light.

Feedback will highlight particular areas of strength as well as any areas that need attention. Where there are concerns about any aspects of the teacher's performance the appraiser will meet the teacher formally to:

- give clear feedback to the teacher about the nature and seriousness of the concerns;
- give the teacher the opportunity to comment and discuss the concerns;
- agree any support (e.g. coaching, mentoring, structured observations), that will be provided to help address those specific concerns;
- make clear how, and by when, the appraiser will review progress (it may be appropriate to revise objectives, and it will be necessary to allow sufficient time for

improvement. The amount of time is up to the school but should reflect the seriousness of the concerns);

- explain the implications and process if insufficient improvement is made.

When progress is reviewed, if the appraiser is satisfied that the teacher has made, or is making, sufficient improvement, the appraisal process will continue as normal, with any remaining issues continuing to be addressed through that process.

11. Moderation

- The Headteacher and Senior Leadership Team will review personal objectives and overall assessments of performance and recommendations for pay progression to ensure quality and consistency across the board.
- The Executive Leadership Team will look at all staff who have been assessed at each level (requires CPD, good and better than good) to ensure performance evidence demonstrates that staff in each group have performed at a similar standard and match the performance descriptors.

12. Appeals

Employees have the right of appeal against:

- the content of the planning and review statement, or any revision (following moderation);
- the outcome of the annual review.

Appeals must be lodged within five working days of written receipt of the above. The appeal will be considered informally by the headteacher within ten working days of receiving the appeal. If the matter cannot be resolved informally, it will be considered by a panel of governors/trustees.

13. Retention of Statements

Appraisal planning and review statements will be retained for a minimum period of six years.

14. Confidentiality

The contents of an employee's planning and review statements remain confidential to him/her, his/her line manager/s and the headteacher and CEO.

15. Monitoring and Evaluation of the Policy

15a. Head teachers Report

The governing body will monitor the operation and outcomes of appraisal arrangements. Each headteacher will provide the governing body with a written report annually (by 31 December) on the operation of the Trust's appraisal policy. The report will not contain any information which would enable any individual to be identified.

The report will include:

- the operation of the appraisal policy including the number of employees in each category by work group;
- the effectiveness of the school's appraisal procedures;
- staff training and development needs.

15b. Non-Discrimination

The governing body is committed to ensuring that the appraisal process is fair and non-discriminatory and will require the following monitoring data to be included in the headteacher's report:

- race;
- sex;
- disability;
- age;
- part-time contracts.

The headteacher will also report on whether there have been any appeals or representations on an individual or collective basis on the grounds of alleged discrimination under any of the categories above.

16. Access to Documentation

Copies of the School Development Plan and Self Evaluation Form can be obtained from the school's shared network drive.

17. Implementation and Review of the Policy

The governing body/trust board will review the appraisal policy annually, taking account of the headteacher's report in its review. The policy will be revised as required to introduce any changes in regulation, associated guidance and statutory guidance.

Appendix A – Further Guidance on Planning Meetings

At the beginning of each cycle, the appraiser(s) will arrange a meeting with the appraisee (“the planning meeting”) to consider and determine:

- the appraisee’s objectives;
- the performance criteria;
- the support that will be provided to the appraisee to help him to meet the performance criteria;
- the timescales for the achievement of the objectives and within which support will be provided, where these differ from the length of the cycle of the appraise;
- the appraisee’s training and development needs and the actions which will be taken to address them.

In determining the above the appraiser should take into account:

- the appraisee’s job description;
- any relevant pay progression criteria;
- any relevant whole-school or team objectives specified in the School Development Plan;
- what can be reasonably expected of any teacher in that position given the desirability of the appraisee being able to achieve a satisfactory balance between the time required to discharge his professional duties and the time required to pursue his personal interests outside work;
- the appraisee’s professional aspirations; and
- the relevant professional standards.

The appraisee’s objectives shall be such that, if they are achieved, they will contribute to improving the progress of pupils at the school.

Only persons who have a direct professional knowledge of the appraisee may provide evidence for the purposes of providing any other evidence, which will be taken into account in judging the appraisee’s performance.

The appraiser and appraisee will always seek to agree the outcomes of the Planning Meeting but where a joint agreement cannot be made the appraiser will make the determination.